

Spring 2007 Request for Proposals

Program Area: R&D Excellence

Open ONLY to Emerging Ideas

RFP#: KSEF-07-RDE-010

Issue Date: April 27, 2007

Submission Due Dates

Letters of Intent: May 11, 2007 (4:00 p.m. ET) Full Proposal Invitation: May 22, 2007 (4:00 p.m. ET) Full Proposals: June 14, 2007 (4:00 p.m. ET)

Kentucky Science and Technology Corporation 200 West Vine Street, Suite #420 Lexington, KY 40507

Contacts

Dr. Maria Labreveux, Program Manager, KSEF Telephone: 859.255.3613 ext. 251, E-mail: mlabreveux@kstc.com

Dr. Mahendra K. Jain, Executive Director, KSEF Telephone: 859.255.3613 ext. 230, E-mail: mjain@kstc.com

Table of Contents

1.	BACK-	GROUND INFORMATION ON ISSUING AGENCY	2
	1.1	GENERAL INFORMATION ABOUT KSTC AND KSEF	2
	1.2	KSEF R&D EXCELLENCE PROGRAM	2
2.	THE R	EQUEST FOR PROPOSAL (RFP)	2.
	2.1	RFP PROGRAM TITLE, NUMBER, AND ISSUING OFFICE	
	2.2 2.3	PURPOSE OF RFP	
	2.4	RESEARCH FOCUS AREA PRIORITIES:	
_			
3.	PROPO	OSAL SUBMISSION REQUIREMENTS	3
	3.1	ELIGIBILITY	
	3.2	SUBMISSION DEADLINES	
	3.3	WHERE TO SUBMIT	
	3.4	PROGRAM CONTACT	
	3.5	ACKNOWLEDGEMENT OF RECEIPT	
	3.6	LATE SUBMISSIONS	6
4.	PROPO	OSAL PREPARATION AND SUBMISSION	7
	4.1	PROPOSAL CONTENT	7
	4.2	PROPRIETARY OR PRIVILEGED INFORMATION	
	4.3	SECTIONS OF THE PROPOSAL	7
	4.31	Proposal Coversheet	7
	4.32	Proposal Budget	
	4.33	Project Summary	
	4.34	Technical Narrative	
	4.35	Current and Pending Support	
	4.36	Facilities and Equipment	
	4.37	0 1	
	<i>4.38</i> 4.4	Partner Commitment	
	4.4	ECONOMY OF PREPARATION	
5.	AWAR	D SELECTION AND ADMINISTRATION INFORMATION	11
	5.1	REVIEW AND FUNDING SCHEDULE	11
	5.2	SELECTION CRITERIA	
	5.3	PROPOSAL EVALUATION	
		- · · · · · · · · · · · · · · · · · · ·	
		Summary Ratings	
	5.4	NOTIFICATION OF THE AWARD	
	5.5	AWARD CONDITIONS	
	5.6	AWARDEE RESPONSIBILITIES	
	5.61 5.62	Acceptance of Proposal Content	
	5.6 <i>2</i> 5.6 <i>3</i>	Fulfillment of the Project Personnel	
	5.64	Presentation requirements	
	5.66	Publication and Presentation Acknowledgement	
_		· · · · · · · · · · · · · · · · · · ·	
Ó.	RUTUR	RE REQUESTS FOR PROPOSAL	15

1. Back-Ground Information on Issuing Agency

1.1 General Information about KSTC and KSEF

The Kentucky Science and Engineering Foundation (KSEF) was created to invest in research and development activity to promote innovation and build a pipeline of new ideas and technologies that will add value to the scientific and economic growth in the Commonwealth. Created under the Kentucky Innovation Act of 2000, the mission of the KSEF is to build science and engineering capacity and excellence by investing in emerging ideas and technologies, human resource development, and technological innovations in Kentucky.

KSEF is an initiative of the Kentucky Science and Technology Corporation (KSTC) and is managed in partnership with the Council on Postsecondary Education (CPE). KSTC is a private nonprofit enterprise founded in 1987 to enhance capacity of people, firms and organizations to use science and technology and effectively compete in the global market place.

1.2 KSEF R&D Excellence Program

KSEF's Research and Development (R&D) Excellence program approved by the KSTC board of directors is targeted to achieve excellence in science and engineering and allow innovation and technology development in existing and emerging areas of research by making proactive investments through a peer-reviewed competitive selection process.

2. The Request for Proposal (RFP)

2.1 RFP Program Title, Number, and Issuing Office

Program Title: R&D Excellence – Emerging Ideas

RFP Number: KSEF-07-RDE-010

RFP Issuing Office: Kentucky Science and Technology Corporation

200 West Vine Street, Suite # 420

Lexington, KY 40507 859-255-3613 ext. 251

2.2 Purpose of RFP

The purpose of this RFP is to solicit applications for funding in five priority research areas in the 'Emerging Ideas' grant category under the R&D Excellence Program. This grant category allows preliminary work on highly innovative, untested, novel ideas to venture into emerging research areas ahead of others. Research results obtained through this funding are likely to be used as preliminary results in competing for federal funds and in getting researchers recognized as pioneers by their early publication of the new

concept. This funding is considered a high-risk investment but successful applicants will help make Kentucky a leader state in coming years.

2.3 Funding Availability and Stipulations

A total budget of \$400,000 is available for grants made under this RFP. The maximum award size is \$20,000. The period of the grant request will not exceed 12 months. Matching Funds are not required. It is open to Universities and Colleges, but not to small businesses. The purpose of this funding is to invest in the initial development of new ideas or application of research to enable Kentucky researchers to obtain major funding from other sources including federal and industrial. The processing of proposals and the decision on awards is subject to the availability of funds from the Commonwealth of Kentucky.

The funding made available by KSEF is not designed to support an ongoing research project. Previously KSEF-funded research projects are not eligible for continuation funding under this RFP and proposals will not be invited if the LOI or the full proposal is found to be a continuation of a previously funded KSEF award. The Principal Investigator (PI) should instead seek funding for these projects from non-KSEF sources. Additionally, PIs who have more than two active KSEF awards on the proposal submission due date are not eligible to apply. However, submission of a revised proposal that was previously not selected for funding is acceptable.

2.4 Research Focus Area Priorities:

Applications are invited in the following priority: Research Focus Areas established by the Department of Commercialization and Innovation, Cabinet for Economic Development, Commonwealth of Kentucky. See www.thinkkentucky.com/DCI/DCITechnology.aspx to access a description of these focus areas. Funding priority will be given to critical technologies in these areas:

- Biosciences
- Environmental and Energy Technologies
- Human Health and Development
- Information Technologies and Communications
- Materials Science and Advanced Manufacturing

3. Proposal Submission Requirements

3.1 Eligibility

3.11 Universities and Colleges

Faculty members having a regular appointment and researchers with their own lab and funding at any accredited Kentucky college or university are eligible to apply for funding under this RFP announcement. Adjunct faculty members, post-doctoral fellows or graduate students are not eligible to act as a PI; however, they can work on a project if awarded to an eligible faculty member or researcher.

3.12. Limit on Number of Proposals and Awards per RFP Round

An applicant may receive only one award as a PI per RFP round. Principal investigators submitting more than one proposal as a PI shall disclose, at the time of submission, their preference for one of the two proposals in the event that both are recommended for funding. No applicant may submit more than two proposals as a PI. No applicant may submit more than two proposals as a Co-PI.

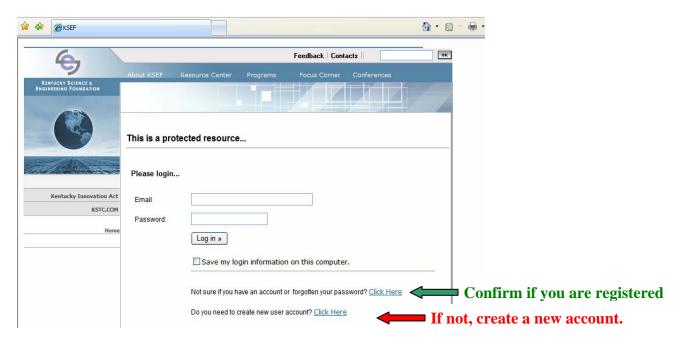
3.2 Submission Deadlines

3.21. Letter of Intent (LOI)

The PI must submit a letter of intent via our <u>Online Submission form</u> at http://ksef.kstc.com/rdef or directly at <a href="http://ksef.kstc.co

IMPORTANT NOTICE: Our LOI application has changed from previous rounds. The first page will look as depicted below. Before creating a New Account, please confirm if you are already registered within our databases. To do so, click on the appropriate link found at the bottom of the LOI login page. If **you are registered** within our databases, your e-mail will be recognized by our database, and an electronic confirmation containing your user ID (e-mail address) and Password will be sent to your registered e-mail address directly.

If **you are NOT registered** within our databases, you will need to create a new account. Return to the LOI log in page and create a new account following the link found at the bottom of the page.



The following information will be required for preparation and submission of the LOI:

- 1. PI and CO-PI contact information
- 2. Project Information
 - o Selection of:
 - Grant category
 - Research focus area
 - o Title of the proposed project.
 - o Description of the proposed work in 300 words or less.
 - o Five key words or terms that specifically describe the project.
 - Up to five specific key areas of research expertise of potential reviewers:
 Use this section to help identify properly matched reviewers should the PI be invited to submit a full proposal.
- 3. Potential Reviewer Conflicts: In this section, the PI will have the option to list reviewers who should not be included to review their proposal and explain the reason for the potential conflict. KSEF will consider such requests while deciding the names of experts, but may or may not accept the justification to exclude a specific expert.

IMPORTANT NOTICE: The PI's e-mail address will be used to acknowledge receipt of the letter of intent. The PI's e-mail address will become the PI's permanent ID. A password will be assigned at the time of on-line registration. The PI's e-mail address and password will serve for all future submissions including a full proposal for this RFP should the PI be invited to submit one.

3.22. Invitation to Submit a Proposal

All LOI's received on time will be reviewed for appropriateness and fit with the R & D Excellence Program guidelines. Invitation to submit a proposal, along with the assigned KSEF proposal number, will be sent to the PI's e-mail address listed in the LOI by May 22, 2007 the latest. A response, either positive or negative, will be given for each LOI received. If the PI does not receive a response by this date, contact Maria Labreveux at mlabreveux@kstc.com or (859)255-3613 ext. 251. No proposals will be accepted without the prior submission of an LOI and prior invitation from KSEF to submit.

3.23. Full Proposal

Each applicant who has been invited to submit a proposal, must submit a proposal via an on-line application submission form available at http://ksef.kstc.com no later than 4:00 p.m. ET, June 14, 2007. The PI will use its e-mail address and the password assigned at the time of registration to submit the full proposal.

NOTICE: A printable PDF file will be generated by the online application. <u>Print</u> a hard copy of the <u>Cover Page and Budget Sheet</u>. The PI is responsible for submitting an ORIGINAL COPY of the Cover Page and Budget Sheet signed in ink and dated by the appropriate parties, including the PI and an authorized official of the applying institution designated to bind the applicant to the budget and the RFP provisions. These original

signed pages must be submitted by mail or hand delivered to KSEF within two working days of the deadline (June 14, 2007 at 4:00 p.m. ET). Faxed or electronically transmitted copies will not be accepted.

3.3 Where to Submit

Send **ONLY** the original copies of the <u>signed cover page and budget sheet</u> identified with the appropriate KSEF reference number to:

Attn: Maria Labreveux Kentucky Science and Engineering Foundation 200 West Vine Street, Suite #420 Lexington, KY 40507 859.255.3613 ext. 251

A printed hard copy of the full proposal will <u>not</u> be accepted. The PI's full proposal will be received through the on-line submission and will be sent for review.

3.4 Program Contact

Applicants may contact the following individual with any questions regarding the program or the application process:

Dr .Maria Labreveux, Program Manager Kentucky Science and Engineering Foundation mlabreveux@kstc.com 859.255.3613 ext. 251

3.5 Acknowledgement of Receipt

Each full proposal will be catalogued within two weeks of the deadline for receipt of the proposals and signed pages, and an e-mail will be sent acknowledging receipt. If a proposal acknowledgement is not received by July 2, 2007, applicants are encouraged to contact KSEF via e-mail (mlabreveux@kstc.com) providing the assigned proposal KSEF number, name of the applicant, organization, proposal title and the date of on-line submission.

The KSEF proposal number should be used in all future inquiries whether in writing or electronic communication.

3.6 Late Submissions

Kentucky Science and Engineering Foundation must receive the electronically submitted proposal no later than 4:00 p.m. ET, June 14, 2007. Each proposal submission will be time-stamped electronically. Timely submission is the sole responsibility of the applicant. KSEF/KSTC is not liable for disqualification of proposals due to late submission.

4. Proposal Preparation and Submission

An on-line application has been designed to submit the new rounds of KSEF R&D Excellence awards. The link to this application will be made accessible, per invitation only, on May 22, 2007 at 4:00 PM ET. Invitations are based on the prior submission of an accepted LOI.

4.1 Proposal Content

The proposal should present the objectives and scientific or technological significance of the proposed work, suitability of the methods to be employed, qualifications of the investigators and the grantee organization, effect of the activity on the infrastructure of science and engineering, and amount of funding required. It should present the merits of the proposed project clearly and should be prepared with the care and thoroughness of a paper submitted for publication. The information provided should be sufficient for external reviewers to evaluate the proposal on its merit.

4.2 Proprietary or Privileged Information

No patentable ideas, trade secrets, privileged or confidential commercial or financial information should be included in the proposal unless it is necessary to convey an understanding of the proposed project. The information so included should be clearly marked in the proposal. Clearly mark sections in the proposal with the on-line tools provided to highlight areas consider proprietary or privileged information. Review the final document and verify that the sections intended to be protected are evidently marked.

"The proprietary or confidential information will not be released to persons outside the Kentucky Science and Engineering Foundation and Kentucky Science and Technology Corporation, except for purposes of proposal review and evaluation."

The PI should also make sure to check YES on the "Proprietary and Privileged Information" question found on the Project Information section of the on-line application. KSEF/KSTC will make every reasonable effort to prevent unauthorized access to such material. KSEF/KSTC will disclose the proposal to assigned external reviewers for evaluation and to KSEF/KSTC staff for administrative review. KSEF/KSTC is not responsible or liable for the unauthorized release of such material by another party.

4.3 Sections of the Proposal

A printable file will be generated as the last step during the online submission process. This file will contain the sections described below and will be available for the PI's review prior to final submission.

4.31 Proposal Coversheet

The proposal file generated will have a Cover Sheet where the PI's and Co-PIs names and contact information will be summarized. In addition, the Proposal Coversheet will

reflect the grant category, research focus area and target area (if applicable) for which the PI is applying. The title of the proposal, which should be brief and provide a technical understanding of the proposed work, along with requested budget amount and proposed duration, will also be reflected. The budget amount and duration of the proposal for RDE-010 will not exceed \$20,000 and one year, respectively. No particular advantage is given to budgets under or above this figure.

The name and contact information of the official authorized to commit the organization in business, financial and legal affairs will also be given on in the Cover Sheet. An original signature of the authorized official is required.

If any of the information on the coversheet or the title or project summary has changed from that entered on the LOI, the PI will have the opportunity to submit changes with some restrictions at the time of full proposal submission. However, the proposal should represent the idea proposed in the LOI. The proposal may be disqualified from consideration if it is found to be focused on different subject matter than originally proposed in the LOI.

4.32 Proposal Budget

A writable budget form can be directly downloaded from the KSEF website (http://ksef.kstc.com) or from the link on the on-line application during the online submission of the proposal. This form is necessary for the preparation of the proposal, and it will have to be signed by the PI and the authorized representative of the PI's institution before submitting it to KSEF within two working days of the full proposal submission deadline.

The proposal budget should be presented in two formats: (1) numerically, using the appropriate number of sheets of the Budget Sheet Form provided online and (2) in narrative within the proposal with explanation and justification of the proposed amounts. Once the PI has completed these pages, the PI will be able to upload them using the upload function of the on-line application submission process.

A. Budget Sheet Forms

Only one budget page needs to be prepared for each proposal.

B. Budget Narrative

The Budget Narrative should explain and justify the requested amounts in the following areas:

Personnel Costs – KSEF funds cannot be used to pay either PI or Co-PI salaries. For other personnel on the project, itemize to show the individual name, position title, estimated percent time commitment, and total cost for each category and for all personnel needs.

Fringe Benefits – Indicate the rate and show total cost.

Supplies and Materials – Itemize costs for chemicals, supplies, and other specific items which may appear to be out of the ordinary.

Travel Costs – In general, travel will not be allowed unless it is necessary to complete the proposed work. When justified, cost only for a domestic travel will be allowed. A small travel budget should be included to travel to Lexington or Louisville to attend the Annual Kentucky Innovation and Enterprise Conference organized by KSTC.

External Services – Itemize and justify any external services or contractual agreements.

Publication Cost – Publication costs will be allowed.

Indirect Cost – Indirect costs may be included but will be limited to no more than 10 (ten) percent of the direct costs excluding the travel, tuition and external contract costs.

Ineligible Direct Costs – Direct costs for application preparation, equipment purchase including computers and software programs*, and business entertainment are not chargeable to the KSEF grant. *Any device with a life of more than two years that costs \$1,000 or more and is inventoried will be considered equipment for the purpose of this RFP.

C. Budget Considerations

The following factors should be taken into consideration when preparing the Budget:

Budget Appropriateness – The award budget will be reduced significantly if it is not in proportion to the proposed work.

Billing and Payment – The Awardee will submit to KSEF an invoice every six months for reimbursement of expenses incurred in the preceding six months. The invoice will be reviewed and processed for payment within 30 days unless some additional information has been requested. No advance payment will be made in any case.

Budget Redirection – More than 10 (ten) percent of funds will not be allowed to be moved from one budget line item to another, even if within budget, without written justification and prior written approval of KSEF. KSEF reserves the right to decline such a request

Incurring Costs – Neither the Commonwealth of Kentucky nor KSTC/KSEF is liable for any cost incurred by the Awardee prior to signing the formal award agreement.

4.33 Project Summary

A non-confidential project summary, not exceeding one page (300 words), must be provided. The summary should provide rationale, vision, distinguishing features, statement of objectives and proposed activities to enable innovation. It should also provide methods to be employed and the impact of the proposed activity on the advancement of knowledge, development of a new product, or resolution of a problem. The proposal summary is likely to be published if the proposal is funded.

4.34 Technical Narrative

The Technical Narrative section will include a clear statement of work including objectives, expected significance, relation to PIs longer-term goals, present state of knowledge in the field and current work in PI's laboratory under other support. The narrative description should not only indicate the general plan of work to be done but also include an adequate description of experimental methods and procedures that indicate how it will be done. The plan should also indicate the persons performing specific project tasks and collaborations, if any, with other faculty members or other institutions. Any collaboration should be documented with a letter from the collaborator. These letters should be uploaded as attachments for submission with the on-line application.

The narrative should describe how the proposed project will add value or make an impact on the advancement of knowledge, and if this effort will stimulate and foster economic activity. A Gantt chart is required to provide a clear understanding of the work schedule relative to different tasks; consider your grant start month as October 2007. The technical review and the experimental methods and procedures should be supported with appropriate literature citations.

Note: The on-line application will have some of these fields (e.g. objectives and specific aims, expected significance, present state of knowledge in the field and current work in PI's lab available) to be completed as separate sub-sections within the Technical Narrative section. Additionally, a separate function will be provided to generate the Gantt chart.

4.35 Current and Pending Support

The PI's and CO-PI's current active grants and pending applications must be listed. Information required will include the name of the PI on the grant, project title, proposed or funded amounts, project period and funding source (agency). The time/effort commitment of the PI and senior personnel on each project, including the proposed project, must be included.

4.36 Facilities and Equipment

The conduct of advanced research may require the use of sophisticated instrumentation or computer facilities. The PI should provide a detailed description of the availability and location of the facilities and accessibility to the equipment necessary to carry out the proposed work. The detail should be sufficient to enable reviewers to evaluate and score it appropriately.

4.37 Biographical Sketches

Identify key personnel and provide biographical sketches of PI and Co-PI limiting to one page each that includes education, experience and list of relevant publications.

4.38 Partner Commitment

If external services including consultants are required, documentary evidence showing their commitment, including the estimated cost, should be provided. Any letters can be uploaded as attachments to the final proposal for on-line submission.

4.4 Format and Organization of the Proposal

The on-line application will automatically format and organize the PI's proposal for final submission, limiting the length of certain sections, including font size, spacing and number of characters used. The maximum proposal length, including items below, is 22 pages; less than 22 pages is acceptable. The estimated length of each section has been provided below for the PI's reference.

Proposal Coversheet (1 page)

Proposal Budget Sheet (1-3 pages)

Budget Narrative (1 page)

Project Summary (1 page)

Table of Contents (1 page)

Technical Narrative – including literature citation (9 pages)

Gantt Chart (1 page)

Biosketches of PIs and Co-PIs (1-3 pages)

Current and Pending Support (1/2 page)

Facilities and Equipment (1/2 page)

All Other Enclosures (1 page)

No copies of manuscripts or publications should be uploaded.

4.5 Economy of Preparation

Each proposal should be prepared simply and economically, providing a concise description of the applicant's ability to meet the requirements of the RFP. Emphasis should be on completeness and clarity of content.

5. Award Selection and Administration Information

5.1 Review and Funding Schedule

Action	Target Date
Announce Request for Proposals	April 27, 2007
Receive Letters of Intent	May 11, 2007
Invitation to Submit Proposal	May 22, 2007
Receive Full Proposals	June 14, 2007
Notification of Awards	September / October 2007*
Award Start Date	October 1, 2007*

^{*} The award notification and start date may be changed due to delays in the review and approval process.

5.2 Selection Criteria

The PI should consider and address the relative importance being placed on criteria relating to both the technical/intellectual research merit and broader impacts on the economy and society. The following factors, as applicable, will be considered in determining project priority:

Relevance to State's Priority Research Areas – Projects demonstrating the greatest relevance to the current priority research areas of the Commonwealth of Kentucky will receive the greatest consideration.

Kentucky Focus – Projects having a focus on issues of relevance to the Commonwealth of Kentucky will receive priority consideration.

Soundness of Scientific Principles – Soundness of approach and experimental design will be a primary consideration.

New Innovation Opportunity – The degree to which the proposed project will foster and sustain innovation and the potential impact it may have on the economic and/or societal well-being will be a major consideration.

Education and Dissemination – The outcome of the project should broadly impact the greater public and enable their understanding of the problem. The information should reach not only the scientific community, but also policy makers and stakeholder groups.

Project Success – Probability of success of the proposed project will be considered. Depending on the nature of the project, it should result in greater understanding of the problem or result in the ultimate resolution of an identified problem.

Appropriate Budget – The proposed budget, given the level of effort proposed, should be shown to be appropriate. Proposed costs must be reasonable in light of the anticipated project benefits.

Performance Capability – The prior experience and the resources of the applicant should be shown to be sufficient to ensure their capability to perform the work being proposed.

Appropriate Fit and Lack of Duplication – The applicant should show originality of idea and how the proposed project complements, as appropriate, the previous, ongoing or other planned efforts. KSEF funds should not be used to support a project currently funded through another source of state funds.

Matching Funds – No matching funds, cash or in-kind, are required or requested for projects funded under the R & D Excellence Program.

5.3 Proposal Evaluation

In meeting its statutory responsibilities, KSEF seeks to support the most meritorious research. Peer reviews play a key role in the evaluation of research proposals. Reviewers will be required to provide both written comments, and a numerical and

descriptive summary rating by employing the criteria provided in section 5.31 and 5.32. The identity of reviewers and the numerical summary ratings of the proposals will be kept confidential.

Additionally, KSEF reserves the right to reject any and all proposals in whole or in part, and waive any informality or technical defects if the best interest of the Commonwealth will be so served. In determination of awards the qualification of the applicant, quality of the research as judged by peer reviewers, distribution of the research focus area and conformity with this RFP will be considered.

5.31 Criteria for Evaluation

Rationale – The degree to which the proposal addresses an important issue, problem or opportunity in development and use of its results (20 Points).

Scientific or Professional Merit – The degree to which the activity will advance the state of science or discipline through use and extension of state-of-the-art methods (35 Points).

Innovativeness – The degree to which new approaches will be employed for solving problems and exploiting opportunities in resource management or development, or in public outreach, on such issues; alternatively, the degree to which the activity will focus on new types of important or potentially important issues (25 Points).

Qualifications and Past Record of Investigators – The degree to which investigators are qualified by education, training and/or experience to execute the proposed activity; record of achievement with previous finding (15 Points).

Facilities and Equipment – The degree to which the investigators have adequate facilities and equipment to conduct the proposed research (5 points).

5.32 Summary Ratings

Excellent – Probably will fall among top 10 (ten)percent of proposals in the area of research; high priority for support.

Very Good – Probably will fall among top third of proposals in the area of research; should be supported.

Good – Probably will fall among middle third of proposals in the area of research; worthy of support.

Fair – Probably will fall among lowest third of proposals in the area of research.

Poor – Proposal has serious deficiencies; should not be supported.

5.4 Notification of the Award

It is the intention of KSEF to make notification of the award to the PI and the organization in October, 2007 or earlier. However, the award date may be changed

without notice due to an unexpected delay in the review and approval process. PIs whose proposals are declined will be advised as promptly as possible. Verbatim copies of confidential review comments, excluding the identity of the reviewer and their numerical scores, will be provided to the PIs._Requests for copies of any other preliminary paperwork used in the decision making process will not be accepted.

5.5 Award Conditions

A grant/award agreement will include, among other items, the proposal reference number, amount of the award, duration, and any other conditions including the methods of billing, reimbursement and reporting. A copy of the approved budget also will be included, which may be different than the requested budget. If satisfactory progress is not made on the funded project, continuation of the award may be suspended until the issues are resolved by the applicant. An award may be canceled if no progress is made or if the work conducted is different than the proposed work. No deviation in the work plan may be made without the explicit prior written approval of KSEF.

5.6 Awardee Responsibilities

5.61 Acceptance of Proposal Content

The contents of this RFP, the applicant's proposal and all other appropriate clauses required under State guidelines will become part of the contractual obligations if a grant ensues. Failure of the successful applicant to accept all obligations may result in cancellation of the award.

5.62 Fulfillment of the Project Personnel

The Awardee will be required to secure professionally qualified personnel and/or subcontractors necessary to perform the work approved in the award. KSEF_ reserves the right to review the qualifications of key personnel assigned by the Awardee to the project to assure that this condition of the award is met.

5.63 Presentation requirements

Awardees will be required to make an oral/poster presentation of their research finding at the Annual Innovation and Enterprise Conference hosted by KSEF. Expenses related to travel and registration are the responsibility of the awardee. The expenses may be paid for with KSEF funds under the travel portion of the budget.

5.64 Reporting Requirements

KSEF has three types of technical reporting requirements, depending on the category and period of the grant award. Templates and instructions for these reports can be viewed and downloaded at http://ksef.kstc.com. See the following page for a summary of the report requirements:

	Report Type	Purpose	Required	Names
1	Semi-Annual Technical Status Report (2 page limit)	To track adherence to proposed timeline for the project & to report key achievements and causes of delay	At 6 month intervals	For 1st Year S1
2	Final Technical Report	To report the findings of the study & related achievements	At the end of the award period, for all awardees	Final
3	Post Award Report	To track the award's impact on Kentucky's Economy	Annually, for 5 years following the end of the award period	P1 P2 P3 P4 P5

Electronic Semi-Annual Technical Status Reports and Final Technical Report are required on or before the deadlines as outlined each award's Grant Agreement. An extra 30 days following the end of the award period is allotted for submission of the Final Report. Semi-annual and Final invoice payments are subject to submission and acceptance of each respective report.

Post-award follow-up reports shall be submitted annually for five years after submission of the Final Technical Report, to gather information on the award's impact.

5.66 Publication and Presentation Acknowledgement

PIs and Co-PIs will acknowledge in their manuscripts, reports and presentations, the financial support received from the Commonwealth of Kentucky through KSEF, an initiative of KSTC using the language provided in the Grant Agreement.

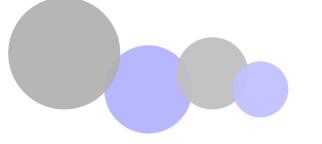
6. Future Requests for Proposal

Applicants should go to the KSTC website (<u>www.kstc.com</u>) or the KSEF website (<u>http://ksef.kstc.com</u>) for other RFP announcements.



KSEF R&D Excellence Award

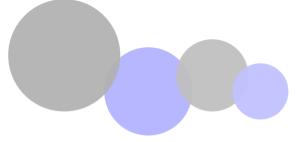
Online Application - Tutorial



Log-in Page



- To begin your application you will need:
 - Your KSEF ID (your e-mail address)
 - Your KSEF password
- Go to: http://applications.kstc.com and login.







- Review carefully the **RFP for guidelines** on page limits, allowable expenses, and review criteria, etc.
- Review this on-line application for the specified <u>sections required</u> for the proposal, particularly the technical narrative.
- Prepare your proposal on a <u>word processor</u> (e.g. MS Word)
- Save Figures as Images:
 - You may save Excel figures as images by saving your graph as "Web Page (Use "Save as Web Page..." option from "File" on the Menu bar).
 - You will have to individually save each chart (not as "Entire workbook" but as "Selection: sheet").
 - Three files will be generated (*.GIF, *.XML, and *.HTM). The XML and GIF file will be saved to a folder in your specified location; the HTM file will be saved outside this folder (the folder is automatically generated by the software).
 - You may now upload the chart as an image with the image handler.
 - Note: Deleting the HTM file automatically deletes the folder and its contents as well.
- Our application has worked best with Internet Explorer. Nevertheless, you may use other browsers.



Log-in Information Required



IF you forgot your password, you may:

- 1. Find it on the confirmation e-mail you received the first time you logged-in to file an LOI.
- 2. Request it again by using the link on this page.



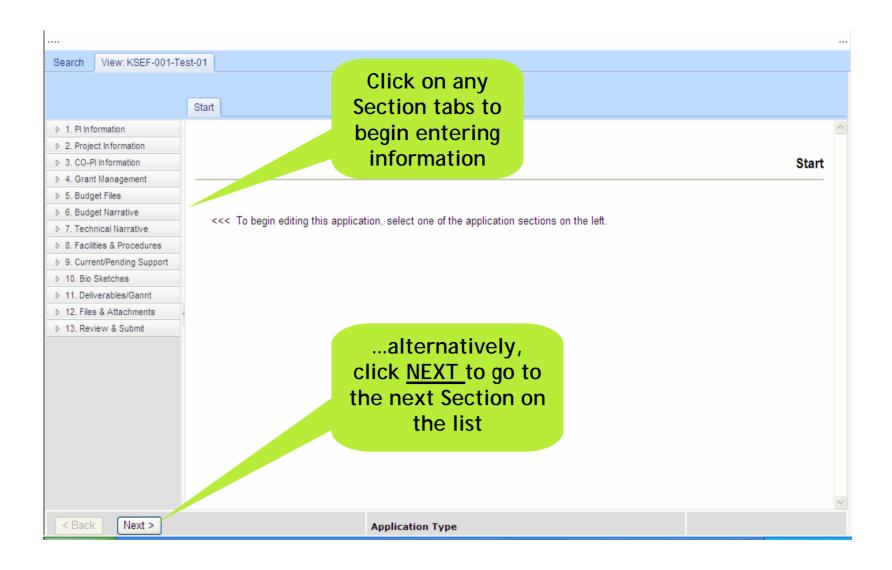
Choose your application...



- All your applications will be listed on this page.
- In the future, your prior applications and reporting efforts will also be listed.
- Information on the status of your applications will be also accessible.



To begin, click on a Tab...







PI Information...

Search View: KSEF-00	1-Test-01					
	PI Information					
▶ 1. Pl Information					<u> </u>	
	PI Name:			(first, last)	 Most of this information 	
	Title:					
	Department:				will auto-populate from	
▷ 5. Budget Files					your LOI application.	
	Organization					
▶ 7. Technical Narrative	Org Type:	University	Non-Profit Organizatio	n Minority Business	Review and complete	
8. Facilities & Procedures 9. Current/Rending Support		Private College	For Profit Organization	Woman-Owned Business		
▶ 9. Current/Pending Support ▶ 10. Bio Sketches		Community College	Small Business			
▶ 11. Deliverables/Gannt						
▶ 12. Files & Attachments	Work Phone:		Mobile:	Fax:		
▶ 13. Review & Submit	Email:					
	Website:					
	Mailing Addres	55:	De	mographic Information:		
			Ge	nder:		
Fabricitus						
	Ethnicity:					
		~	If C	Other:		
	Always,	scroll down to	check for add	ditional fields		
					~	
< Back Next >		Appl	lication Type		Save	

Save, before moving to the next section

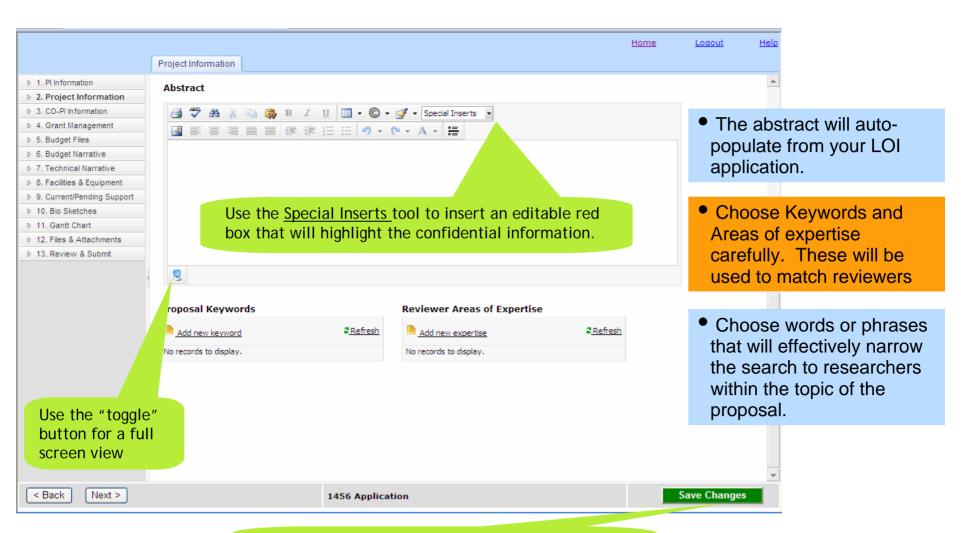


Project Information...

	Project Information	
		<u> </u>
Do 2. Project Information		
	Focus Area:	 Most of this information will
	Proposal Category:	auto-populate from your LOI
		application.
	Project Title:	application.
▶ 7. Technical Narrative	Total Amount	
	Requested:	 Max requested = \$20,000
▶ 9. Current/Pending Support	Project Duration 💌	παχ τοφασσίοα = φ20,000
▶ 11. Gantt Chart	Does this application contain proprietary information?	Max duration = 12 mo
		Max duration = 12 mo
▶ 13. Review & Submit	O Yes	
	 No Is this proposal a resubmission from a prior, not-funded KSEF Application? ○ Yes No 	 If you check YES, mark the section of your proposal as CONFIDENTIAL using our "special inserts" tool.
	If yes, enter the corresponding proposal # from your prior submission: KSEF RDE-	Scroll down to reach the ABSTRACT
	Is this proposal being submitted to another agency? ○ Yes • No	
< Back Next >	1456 Application	Save Changes



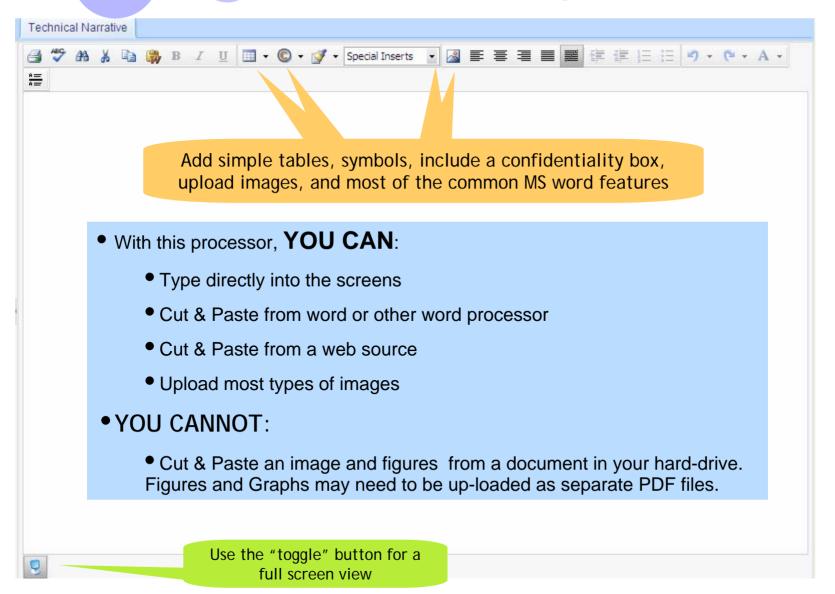
Project Information cont...



Save, before moving to the next section



Word Processor Capabilities





Co-PI Information

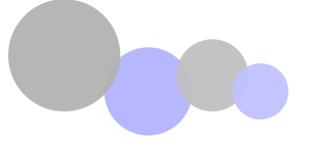
				CI	ick on this lin	k to Add New
	CO-PI Information					
	Add New CO-PI					2 <u>Refresh</u>
3. CO-PI Information	First Name		Last Name		Title	
▶ 4. Grant Management	No records to display.					
		CO-PI Information				
		Í.				
▶ 9. Current/Pending Support		COPI Name:			(first, last)	
▶ 10. Bio Sketches		Title:	Dep	partment:		_
▶ 11. Gantt Chart	▶ 4. Grant Management	Organization				
▶ 12. Files & Attachments		Work Phone:	Mobile:		Fax	
			riobile:			
	▶ 8. Facilities & Equipment	Email:				
		Discription Address		D	f	
	▷ 10. Bio Sketches	Physical Mailing Addr	ess:	Demographic In	tormation:	
	▶ 11. Gantt Chart			Gender:	~	
	▶ 12. Files & Attachments			Ethnicity:		
	▶ 13. Review & Submit				~	
		Save Cancel No records to display.	V	If Other:		Repeat add ne
	SAVE or cancel eantry before leaving screen.				\	
		<				



Grant Management

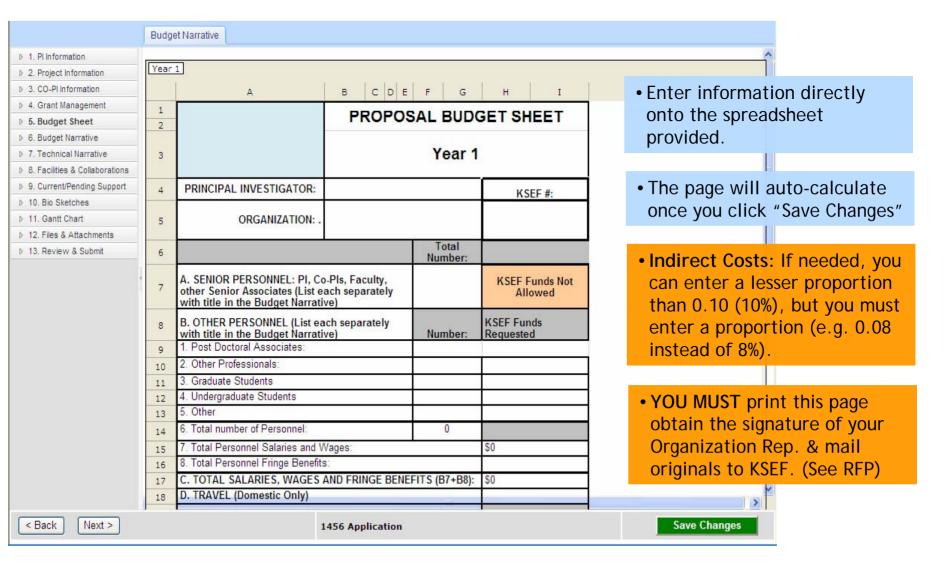
	Grant Management		
▶ 1. PI Information			^
	Organization		
▶ 4. Grant Management	(to which the award should be made)		
	Contact	(first, last)	
▶ 6. Budget Narrative	Person:	(mary radit)	
▶ 7. Technical Narrative	Title:		Enter the information of the
	Office:		authorized official in your
▶ 9. Current/Pending Support	onice.		institution that will sign the
▶ 10. Bio Sketches	Work Phone: Mobile:	Fax	
▶ 11. Gantt Chart			cover sheet and budget
▶ 12. Files & Attachments	Email:		sheets (e.g. The Director
			of the Office of Sponsored
	Mailing Address:		Research).
< Back Next >	1456 Application		Save Changes

Save, before moving to the next section





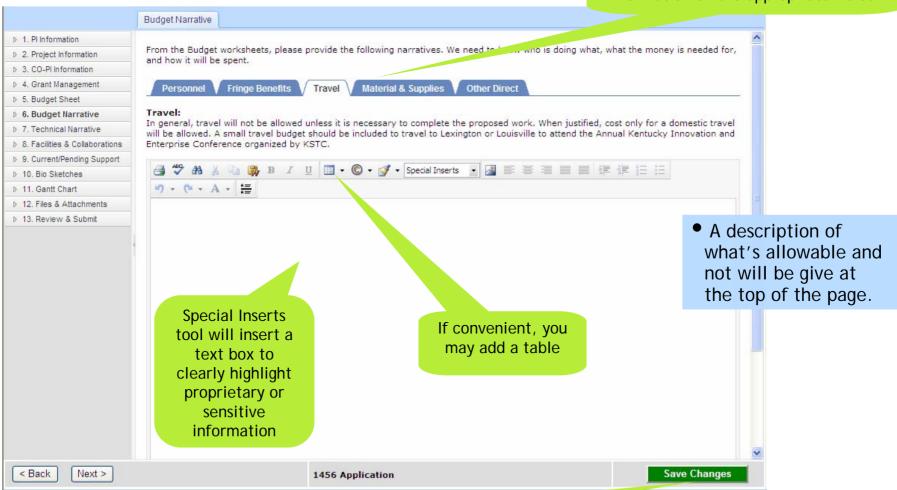
Budget Sheets





Budget Narrative

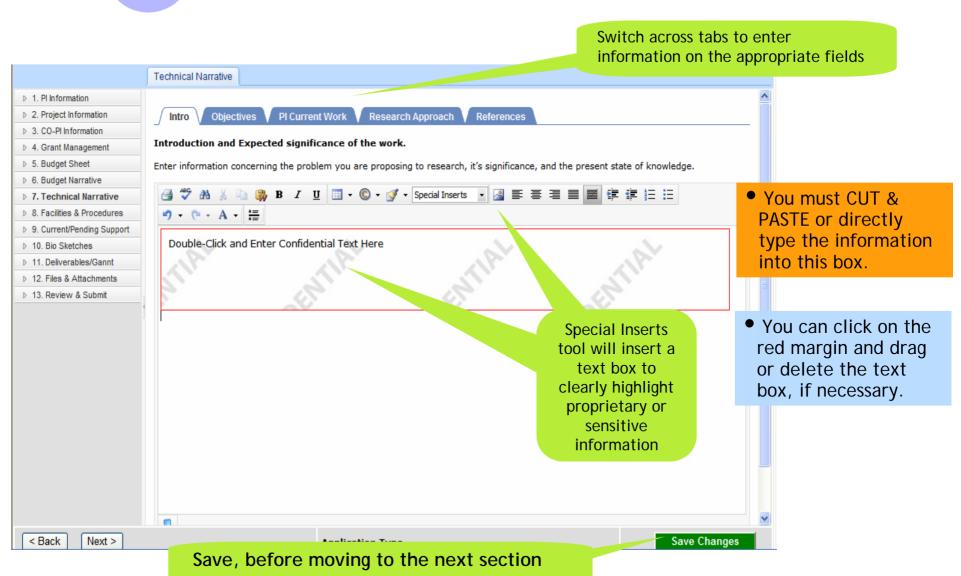
Switch across tabs to enter information on the appropriate fields



Save, before moving to the next section



Technical Narrative





Handling Images

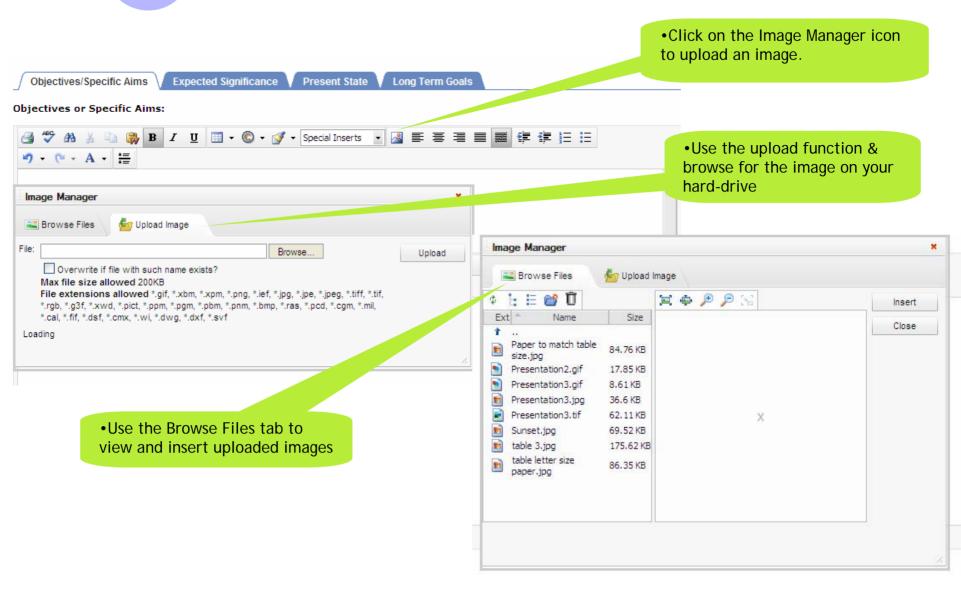
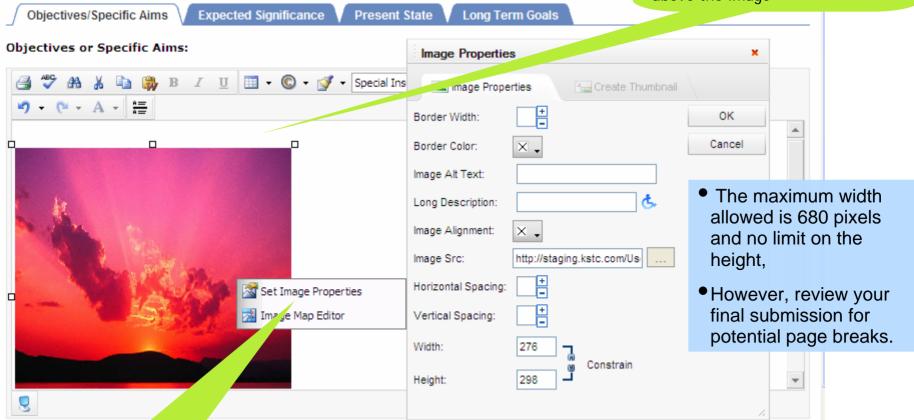




Image Editing ...

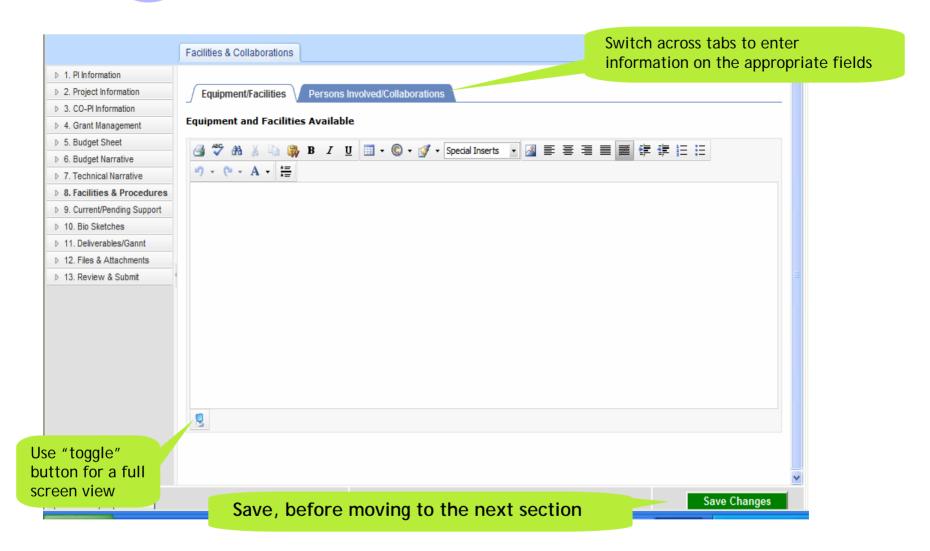
 Use the "enter" on your keyboard to allow space for text above the image



•Right-click on an image to access the Image Properties handler



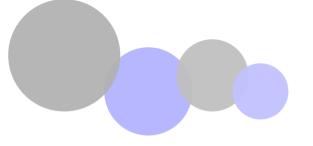
Facilities & Collaborations





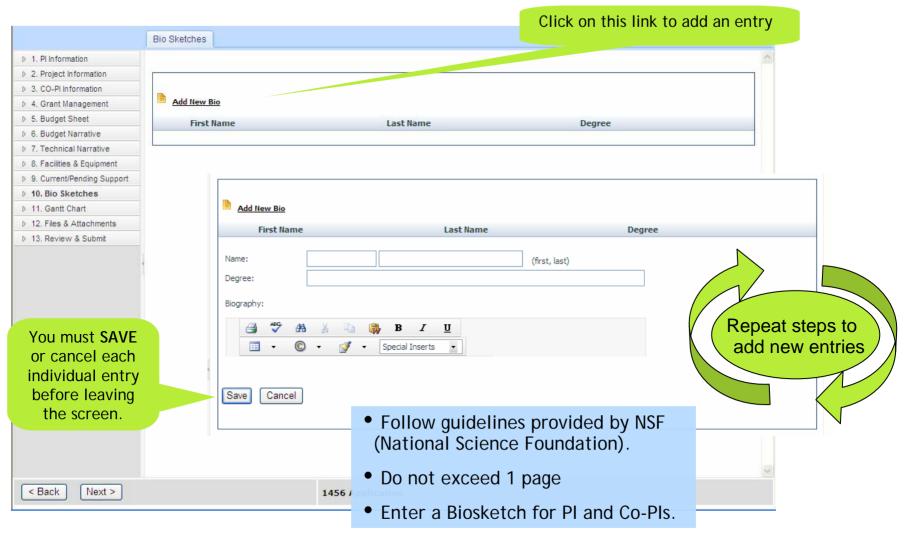
Current & Pending Support

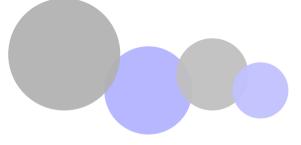
	Current/Pending Support		Click on this link to add an en	ntry
				^
		grants and pending applications must ject period and funding source. The tim		
	including the proposed project mu		or contract of cach project	
	W. 40 M W. 50			1:
	_			
	Add New Current/Pending	Support		
▶ 7. Technical Narrative	First Name	Last Name	Project Title	
	rirst name	Last name	Project fide	
▶ 9. Current/Pending Suppor				
▶ 10. Bio Sketches				
▶ 11. Gantt Chart	Name			
▶ 12. Files & Attachments	Name:		(first, last)	
	Project Title:			
You must SAVE or cancel each individual entry before leaving	Project Period:	% to		epeat dd ne
the screen.	Save Cancel	•	Enter grants & awards the PI/Co-PI has received or has applied for. Time Commitment refers to the % of his/her FTE dedicated to that particular project.	





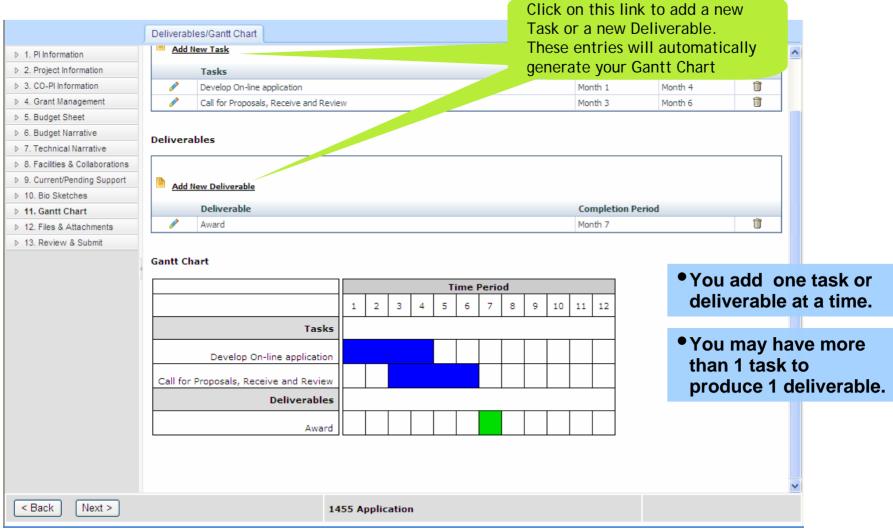
Biosketches







Gantt Chart





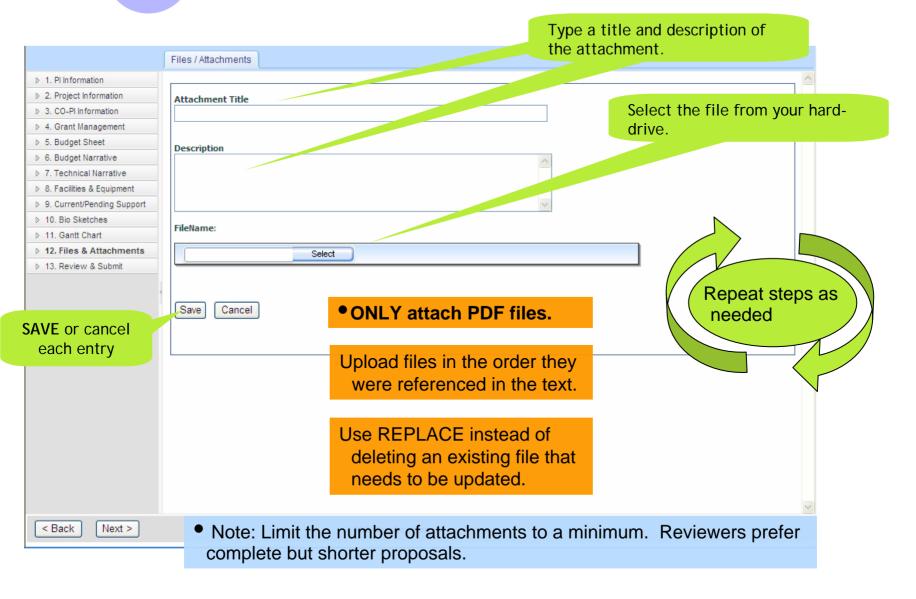
Gantt Chart cont...

	Deliverables/Gantt Chart	and select a start and end date.
	Tasks:	
		Notice there are no
	Task:	calendars. Month 1 will be the
	Time Period:	Start Date on your award
	Time Period:	agreement.
▶ 7. Technical Narrative		agreement.
▶ 9. Current/Pending Support	Court Court	
▶ 10. Bio Sketches	Save Cancel	
▶ 11. Gantt Chart		
	л Deliverables:	Enter the Deliverable name and select the "delivery" time.
	Deliverable: Completion time:	Repeat steps as needed

You must **SAVE** or cancel each individual entry before leaving the screen.

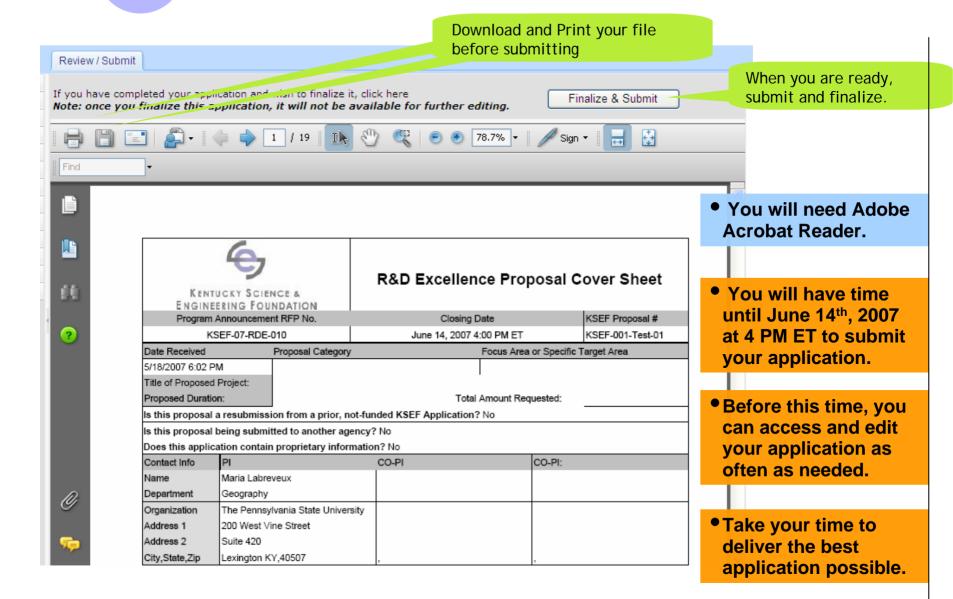


Files & Attachments





Review and Submit



Sent: Friday, July 14, 2006 3:18 PM

To: Mahendra Jain

Subject: Nanotechnology Conference and Trade Expo

Kentucky Science and Technology Corporation 859-233-3502

kstc@kstc.com

The *nanoTX'06*, a world scale nanotechnology conference and trade expo will be held at the Dallas Convention Center during International Nanotechnology Week in late September, (http://www.nanotx.biz). The event will be held on September 27-28, 2006. The premier feature of this event is the Nobel Laureates *Legends Reception* where six Nobel Prize winners in various related fields will openly discuss their work and the future of nanotechnology.

Please visit the website http://www.nanotx.biz for additional information on registration and program. About 1000 or more exhibitors, 50,000 attendees from over 30 different countries are expected. PBS will be filming the event for television.

Interested businesses can reserve a booth at the trade show. A booth comes with two tickets to an invitation only Nobel Laureate Legends cocktail reception up until they run out of tickets. Two complimentary conference passes, an eight foot back drape, two three foot side drapes, a draped table, two chairs, one waste basket and a generic sign with your company name on it. There are still some excellent locations open, and location is half the battle.

KSTC 14 July 2006

Sent: Friday, July 14, 2006 5:46 PM

To: Mahendra Jain

Subject: NIH SBIR Commercialization Program -Applications due July 31

Kentucky Science and Technology Corporation 859-233-3502

kstc@kstc.com

NIH Offers Commercialization Assistance Program to SBIR Phase II Awardees

Dear Small Business Research Community,

This message is to make sure that you are aware that the National Institutes of Health (NIH) has announced the opportunity for SBIR Phase II awardees to apply for this year's SBIR Commercialization Assistance Program (CAP). The invitation that was placed in the NIH Guide to Grants and Contracts is available at http://grants.l.nih.gov/grants/guide/notice-files/NOT-OD-06-081.html and a detailed

http://grants1.nih.gov/grants/guide/notice-files/NOT-OD-06-081.html and a detailed program description at http://www.larta.org/nihcap/NIHCAP-ProgramDescription.pdf.

The program is in its third year and is designed to help SBIR awardees transition their SBIR-developed products into the marketplace.

Applications are due July 31, 2006.

To entice and encourage you to investigate this opportunity a bit further, here are samples of what previous participants have said about the program:

- o "There is no question that we have a better understanding of how to approach the market and how to present our product to potential partners as a result of our participation in the CAP."
- o "The program has had a positive impact in that it helped us establish a business plan and allowed us to receive feedback on our product and our positioning with respect to intellectual property and investor interests."
- o "The program gave me enough exposure to the business way of thinking and an understanding of what needs to be in a presentation so that I am now acting more like a CEO than a scientist."
- "Although we were very comfortable with our technology and overall potential market, we had been struggling with how best to penetrate the market and what strategies would work best, what potential problems to avoid. Our advisor did an excellent job of guiding us just enough to point us in the right direction."

- "CAP made it possible for me to visualize the road to commercialization and start traveling it. I would not have made this change without the CAP program."
- o "Going through the NIH-CAP process was a key element in our strategic planning. It enabled us to detail how we could further push our science out into consumer health markets, and how we could raise money to make that happen."
- o "The program forced me to focus on the strategy and tactics, rather than technology innovation, incremental product improvements and the next unit sale."

General inquiries about the CAP may be addressed to:

Ms. Ketaki Sood Larta Institute 714 West Olympic Blvd., Ste. 750 Los Angeles, CA 90015 Telephone: (213) 765-4824

Email: ksood@larta.org

Or

Ms. Kay Etzler
NIH SBIR/STTR Program
Office of Extramural Programs
National Institutes of Health
6705 Rockledge Drive, Suite 360

Bethesda, MD 20892 Telephone: (301) 435-2713

FAX: (301) 480-0146 Email: sbir@od.nih.gov

NIH is in the process of converting to SF424 (Research and Related [R&R]) forms and electronic submission through Grants.gov. Information on this plan and on registering for electronic submission is available at http://grants.nih.gov/grants/guide/notice-files/NOT-OD-05-067.html. Updates regarding the transition process are at http://era.nih.gov/ElectronicReceipt/.

Web Pages of Interest:

- · Small Business Research Funding Opportunities (SBIR/STTR Solicitations): http://grants.nih.gov/grants/funding/sbir.htm
- · SBIR/STTR Collaboration Opportunities and Research Partnerships:

http://grants.nih.gov/grants/funding/corp.htm

KSTC

14 July 2006

Sent: Thursday, July 27, 2006 9:35 AM

To: Casey Barach

Subject: KY Commercialization Fund RFP Announcement

Kentucky Science & Technology Corporation

kstc@kstc.com www.kstc.com 859.233-3502

Solicitation Announcement for New Funding Opportunities in the Kentucky Commercialization Fund

The Kentucky Science and Technology Corporation (KSTC) announces a new Request for Proposals (COMM-06-RFP-006) under the Kentucky Commercialization Fund Program. A total of up to \$750,000 in funding is available for individual awards of up to \$75,000/year. Faculty from universities, private colleges, and other post-secondary institutions are eligible to apply. Please feel free to share this solicitation announcement with others who may be eligible.

To be eligible for an invitation to submit a proposal,

- Pre-proposals must be submitted online by <u>Friday</u>, <u>August 11</u>, 2006, 5:00pm ET
- Invitations for proposal submission will be sent by Friday, September 8, 2006, 5:00pm ET.
- Invited proposals must be received in hard copy by Friday, September. 29, 2006, 5:00pm ET.

For information on how to apply, see the announcement for *NEW* Funding Opportunity on our website at http://ksef.kstc.com or call 859.255.3613.

Sent: Thursday, September 28, 2006 5:36 PM

To: Mahendra Jain

Subject: National SBIR Conference, 6 -9 November 2006

Kentucky Science & Technology Corporation

kstc@kstc.com www.kstc.com 859.233-3502

Are you planning to attend the

National Small Business Innovation Research Conference (SBIR) Conference!

November 6-9, 2006 * Hilton Milwaukee City Center * Milwaukee, WI

Conference Theme: Spreading the Wings of Opportunity *
Creating Future Success in the SBIR/STTR Program

National Science Foundation- EPSCoR may cover your conference registration

Check with KSTC (Mahendra Jain, mjain@kstc.com) on how to register for the conference without paying for the conference registration fee. Only four free registrations are available for small businesses on a first-com basis.

NOTE - The NSF-EPSCoR subsidized registration closes on October 13, 2006.

Pre-Conference Proposal Preparation Workshop on November 6th (Additional Fees Apply)

The Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs provide more than \$2 billion each year to small businesses, helping entrepreneurs take their ideas from the laboratory to market. The SBIR and STTR programs fund projects at the earliest stages of development and allow firms who have not yet attracted funding through Venture Capital or other alternative financing to succeed in commercialization.

The 2006 Fall National SBIR/STTR Conference in Milwaukee, WI, will provide an opportunity for small businesses across the country to learn about these programs, teach them how to apply and explain what it takes to win part of the \$2 billion. The conference will provide small businesses with an opportunity to interact and share with people from across the nation.

Conference topics will include: What, How and Who!

The three-track, or concurrent, format allows us to provide you with a variety of topics to choose from. You are welcome to participate in any track session that is of interest to you. Review the agenda topics on our website. The goal of all sessions is to give you valuable information and guidance to help you be successful in the program!

Networking Opportunities

Each participant in the 2006 Fall National SBIR/STTR Conference will have multiple opportunities to meet and network with SBIR and STTR program managers, fellow business men and women from across the nation, previous award winners, university researchers looking to commercialize, as well as government and business leaders who will work with aspiring entrepreneurs in starting their business.

Plus_ Post conference workshops are offered for registrants. Check the website for agenda details, registration and fee requirements!

DON'T MISS THIS UNIQUE OPPORTUNITY FOR YOUR BUSINESS! Visit the SBIR Conference Website for program & registration details: http://www.sbirworld.com/wi/epscor

Sent: Monday, October 02, 2006 3:40 PM

To: Mahendra Jain

PRESS RELEASE For Immediate Release

Contact: Kris Kimel (859) 233 -3502 ext. 223 / Cell: 859.229-6161

KSTC's Mahendra Jain receives the 2006 National Tibbetts Award

The Kentucky Science and Technology Corporation (KSTC) today announced that Dr. Mahendra Jain, Vice President KSTC and Executive Director of the Kentucky Science and Engineering Foundation, is the recipient of 2006 National Tibbetts award. He received this award on 26 September 2006 at a ceremony held in Washington DC. Named for Roland Tibbetts—the person acknowledged as the father of the Small Business Innovation Research (SBIR) program—these prestigious, national awards are made annually to those small firms, projects, organizations and individuals judged to exemplify the very best in SBIR achievement at state, region or the nation. Dr. Jain was selected for this national award in recognition of his outstanding work that contributed so greatly to the success of the SBIR program in Kentucky and the nation. He was one of the 17 individuals selected for this award from all the states. The awards were presented by the Small Business Technology Council and the U.S. Small Business Administration.

"This prestigious award is just one example of the impressive work that Dr Jain is doing on many fronts in Kentucky" said Kris Kimel president of KSTC.

After a nation wide search, KSTC hired Dr. Jain to start and develop Kentucky Science and Engineering Foundation (KSEF) for developing science and engineering excellence in the Commonwealth through research and development and technological innovation programs eventually to contribute to the knowledge-based economic development in the state. In this capacity he also provided administrative leadership and a vision and a passion to build Kentucky's SBIR program to enable state's entrepreneurs and small businesses to participate in the federal SBIR program, which supports development of high-risk technology ideas, innovation and companies. In May 2006, Dr. Jain organized a very successful National SBIR Conference held for the first time in Kentucky for the benefit of technology businesses nationwide.

For information on the KSEF activities visit http://ksef.kstc.com or call (859) 233-3502 ext. 230.

KSEF is an initiative of the Kentucky Science and Technology Corporation through support from the Kentucky Council on Post-Secondary Education.

KSTC

2 October 2006

Sent: Monday, October 02, 2006 4:41 PM

To: Mahendra Jain

Subject: SBIR-STTR Proposal Preparation Workshops

SBIR/STTR Proposal Preparation Workshops -Announcement

Why Attend? SBIR-STTR proposal writing is different than the traditional government grant proposal

When and Where? Louiville, KY (NIH focus)
October 10 and 11, 2006 (1.5 days)

<u>Lexington, KY (General – All Federal Agencies)</u> October 17, 2006 (All Day)

The SBIR-STTR Program: This fiscal year, eleven (11) federal agencies will award more than \$2.0 billion to small and start-up firms that perform innovative, high-risk R&D, and commercialize the resulting technologies. These awards will be made through the Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) programs. Kentucky entrepreneurs and technology businesses can use this source of set-aside funds to explore high-risk technical ideas and commercialize.

The Workshop Speakers: Two speakers are giving separate workshops at two different locations.

October 10-11, 2006 - Lisa Kurek (Biotechnology Business Consultants) will focus on NIH SBIR-STTR program and include electronic submission of proposals. She will give an intensive workshop covering all aspects of preparing a competitive NIH SBIR or STTR Phase I proposal.

October 17, 2006 - Dr. Bob Berger (Robert Berger Consulting) will share insights into what elements are needed to generally develop a winning SBIR/STTR Phase I proposal that will grab the attention of the reviewers. The focus of the workshop will be to demystify the proposal preparation process in easy to understand steps. The workshop will allow time for questions and answers to understand the application components and get you started.

Wish to Register? You may register online at http://ksef.kstc.com/
If you have a problem, contact Debbie Rempfer at drempfer@kstc.com or at (859) 255-3613 ext. 232.

Deadlines & Fees: Please register before Monday, October 2, 2006 for either of the two workshops. The registration fees include presentation materials, continental breakfast, lunch on first day, and refreshment breaks. (Visit http://ksef.kstc.com/ for more details)

Interested in more information? Visit our website (above) for the conference and workshop

agendas. For additional questions, contact Mahendra Jain at KSEF ($\underline{mjain@kstc.com}$; Telephone (859)255-3613 x 230).

Organizers

Kentucky Science & Engineering Foundation
Kentucky Science and Technology Corporation
Collaborators
University of Louisville
Commerce Lexington, Inc.

Sent: Monday, February 12, 2007 1:41 PM

To: Mahendra Jain

Subject: Ky SBIR/STR Conference / Workshop Announcement

Kentucky SBIR/STTR Conference and Workshop Announcement

Why Attend? LEARN ABOUT ELIGIBILITY FOR THE KENTUCKY SBIR-STTR MATCHING FUNDS GRANT PROGRAM

LEARN ABOUT RECENT CHANGES IN THE FEDERAL SBIR-STTR PROGRAM

MEET FEDERAL SBIR-STTR PROGRAM MANAGERS

When and Where? SBIR/STTR Conference

March 8, 2007, in Lexington, KY (Embassy Suites Hotel)

SBIR/STTR Phase I Proposal Development Workshop
March 9, 2007, in Lexington, KY (Embassy Suites Hotel)

The Conference: (March 8, 2007) This fiscal year, eleven (11) federal agencies will award more than \$2.2 billion to small and start-up firms that perform innovative, high-risk R&D, and commercialize the resulting technologies. These awards will be made through the Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) programs. Kentucky companies should explore this source of capital.

The Workshop: (March 9, 2007) Ms. Lisa Kurek (Managing Partner of Biotechnology Business Consultants) will share insights into how to prepare a successful Phase SBIR or STTR proposal. The focus of the workshop will be on NIH proposal preparation. The workshop will allow time for questions and answers and will help you understand the process in crafting a fundable proposal.

Wish to Register? You may register online at http://www.kstc.com OR at http://www.kstc.com

If you have a problem, contact Debbie Rempfer at drempfer@kstc.com

Deadlines & Fees: Please register before Friday, February 23, 2007 for the conference and the workshop. The registration fees include presentation materials, continental breakfast, lunch, and refreshment breaks. (See http://ksef.kstc.com/ for more details)

Interested in more information? Visit our website (above) for the conference and

workshop agendas. For additional questions contact Mahendra Jain at KSEF $(859)255-3613 \times 230$.

Organizers

Kentucky Science & Engineering Foundation Kentucky Science and Technology Corporation Sponsors

University of Louisville Commerce Lexington, Inc. Western Kentucky University South Central Region ICC

Sent: Monday, February 19, 2007 2:39 PM

To: Mahendra Jain

Subject: Reminder KY SBIR/STTR Conference & Workshop Announcement

Kentucky SBIR/STTR Conference and Workshop Announcement *Reminder*

Why Attend? LEARN ABOUT ELIGIBILITY FOR THE KENTUCKY SBIR-STTR MATCHING FUNDS GRANT PROGRAM

LEARN ABOUT RECENT CHANGES IN THE FEDERAL SBIR-STTR PROGRAM

MEET FEDERAL SBIR-STTR PROGRAM MANAGERS

When and Where? SBIR/STTR Conference

March 8, 2007, in Lexington, KY (Embassy Suites Hotel)

SBIR/STTR Phase I Proposal Development Workshop

March 9, 2007, in Lexington, KY (Embassy Suites Hotel)

The Conference: (March 8, 2007) This fiscal year, eleven (11) federal agencies will award more than \$2.2 billion to small and start-up firms that perform innovative, high-risk R&D, and commercialize the resulting technologies. These awards will be made through the Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) programs. Kentucky companies should explore this source of capital.

The Workshop: (March 9, 2007) Ms. Lisa Kurek (Managing Partner of Biotechnology Business Consultants) will share insights into how to prepare a successful Phase SBIR or STTR proposal. The focus of the workshop will be on NIH proposal preparation. The workshop will allow time for questions and answers and will help you understand the process in crafting a fundable proposal.

Wish to Register? You may register online at http://www.kstc.com OR at http://www.kstc.com OR at

If you have a problem, contact Debbie Rempfer at drempfer@kstc.com

Deadlines & Fees: Please register before Friday, February 23, 2007 for the conference and the workshop. The registration fees include presentation materials, continental breakfast, lunch, and refreshment breaks. (See http://ksef.kstc.com/ for more details)

Interested in more information? Visit our website (above) for the conference and

workshop agendas. For additional questions contact Mahendra Jain at KSEF (859)255-3613 x 230.

Organizers

Kentucky Science & Engineering Foundation Kentucky Science and Technology Corporation Sponsors

University of Kentucky
University of Louisville
South Central Region ICC
Western Kentucky University
Commerce Lexington, Inc.

Sent: Monday, February 26, 2007 11:17 AM

To: Mahendra Jain

Subject: SBIR/STTR Registration Deadline Extended

Registration Deadline Extended to March 1 Register Now

Kentucky SBIR/STTR Conference and Workshop Announcement

For info and registration visit http://ksef.kstc.com

When and Where?

SBIR/STTR Conference

March 8, 2007, in Lexington, KY (Embassy Suites Hotel)

SBIR/STTR Phase I Proposal Development Workshop March 9, 2007, in Lavington, KV

March 9, 2007, in Lexington, KY (Embassy Suites Hotel)

Organizers:

Kentucky Science & Engineering Foundation Kentucky Science and Technology Corporation

Sponsors:

University of Kentucky University of Louisville South Central Region ICC Western Kentucky University Commerce Lexington, Inc.

KSTC 859-233-3502 <u>kstc@kstc.com</u> 26 February 2007

Sent: Thursday, March 01, 2007 5:51 PM

To: Mahendra Jain

Subject: Last Reminder - KY SBIR/STTR Conference/Workshop

LAST REMINDER – REGISTER NOW

Kentucky SBIR/STTR Conference and Workshop Announcement

For info and registration visit http://ksef.kstc.com

When and Where?

SBIR/STTR Conference

March 8, 2007, in Lexington, KY (Embassy Suites Hotel)

SBIR/STTR Phase I Proposal Development Workshop

March 9, 2007, in Lexington, KY (Embassy Suites Hotel)

Organizers:

Kentucky Science & Engineering Foundation Kentucky Science and Technology Corporation

Sponsors:

University of Kentucky
University of Louisville
South Central Region ICC
Western Kentucky University
Commerce Lexington, Inc.

Sent: Monday, March 19, 2007 9:37 AM

To: Mahendra Jain

Subject: Spring 07 Natinal SBIR Conference

Spring 2007 National SBIR Conference

April 30 – May 3, 2007 RTP/Durham, NC

WHO: Small businesses and researchers from around the country involved in scientific or technological research and development who are interested in learning how to tap into the nation's two billion dollar R&D funding resource.

WHAT: Spring 2007 SBIR National Conference - CONFERENCE WEBSITE: www.sbtdc.org/events/sbir/2007

WHEN: Monday, April 30th to Thursday, May 3rd

WHERE: Sheraton Imperial Hotel and Convention Center, RTP/Durham, North Carolina

WHY: Conference attendees will be offered flexible multi-track sessions in order to select topics of highest relevance to the current state of their business. For newcomers to the SBIR/STTR programs, attendees will learn how to apply and win some of the \$2.2 billion in Federal grants and contracts. For those who have reached the Phase 1 funding milestone, learning will focus on how to stay on track for success and achieve next level funding. For the multiple award winner, details on moving to full commercial operation will cover procurement, business development, technology and financing.

In addition, pre- and post-conference workshops will be offered as well as exhibits, oneon-one sessions with Federal Program Representatives and networking with state support services, fellow attendees and successful awardees. **Participating Federal agencies** who will be presenting and be available for one-on-one sessions include:

- Department of Agriculture
- Department of Commerce

- <u>Department of Defense</u> and associated branches including Army, Air Force, Navy and many others
- Department of Energy
- Department of Health & Human Services
- Department of Homeland Security
- Department of Transportation
- Environmental Protection Agency
- National Aeronautics & Space Administration
- National Science Foundation

DEMO COMPANIES: Meet with successful awardees from across the technology spectrum who will be exhibiting their R&D. Learn what made them successful! Current firms include: Defense Holdings, Inc. (DHi), Anautics, Inc., Flying Bridge Technologies, Global Technology Connection, Inc., Insitutec, Inneroptic, Propagation Research Associates, Inc., Mi-Co, and Southeast TechInventures.

DEADLINES:

- Conference Registration: <u>April 10th</u> (to receive pre-conference rates: \$249 for NC firms and \$299 for outside NC firms)
- Hotel Reservation at Sheraton: <u>April 6th</u> (after 4/6 the conference room rate of \$110 will no longer be available)
- Investor Ready Entrepreneur: Registration is limited to the <u>first 75 P1</u> and P2 awardees who sign up on the conference registration website.

Sponsors:

Headline Sponsors

NC Board of Science and Technology NC Biotechnology Center Focus Resources

Break

NC Research Campus
TN SBIR Resource Center
Oak Ridge National Lab
VACEDA / SwVA PTAC

Exhibit

NC IDEA

Daniels Daniels and Verdonik

Wyrick Robbins Yates and Ponton

Renaissance Computing Institute

Hutchison Law Group

Carilion Biomedical Institute

T2Bridge

Inception Micro Angel Fund

The Research Triangle Park

Digisoft Solutions

Luna Innovations

Media

Tech Journal South

QUESTIONS: Visit CONFERENCE WEBSITE:

www.sbtdc.org/events/sbir/2007

Contact John Ujvari via email at sbir@sbtdc.org

Sent: Monday, April 02, 2007 5:31 PM

To: Mahendra Jain

Subject: SBIR Nat'l Conference Hotel Block Expires THIS Fri., 4/6

IMPORTANT REMINDER - SBIR Conference Hotel Block Expiration:

The Hotel block for the SBIR National Conference expires **THIS Friday, April 6th**. Take advantage of the conference facility's hotel at the conference rate of \$110. After Friday, this rate is no longer available.

Hotel rate and reservation information available at:

http://www.sbtdc.org/events/sbir/2007/hotel.htm

Official SBIR National Conference Website:

http://www.sbtdc.org/events/sbir/2007/index.htm

Don't miss the only National SBIR Conference on the East Coast until Fall 2008!

Small Business Innovation Research (SBIR) National Conference: April 30 - May 3, 2007

WHO: Small businesses and researchers from around the country involved in scientific or technological research and development who are interested in learning how to tap into the nation's two billion dollar R&D funding resource.

WHAT: Spring 2007 SBIR National Conference - CONFERENCE WEBSITE: www.sbtdc.org/events/sbir/2007

WHEN: Monday, April 30th to Thursday, May 3rd

WHERE: Sheraton Imperial Hotel and Convention Center, RTP/Durham, North Carolina

WHY: Conference attendees will be offered flexible multi-track sessions in order to select topics of highest relevance to the current state of their business. For newcomers to

the SBIR/STTR programs, attendees will learn how to apply and win some of the \$2.2 billion in Federal grants and contracts. For those who have reached the Phase 1 funding milestone, learning will focus on how to stay on track for success and achieve next level funding. For the multiple award winner, details on moving to full commercial operation will cover procurement, business development, technology and financing.

In addition, pre- and post-conference workshops will be offered as well as exhibits, oneon-one sessions with Federal Program Representatives and networking with state support services, fellow attendees and successful awardees. **Participating Federal agencies** who will be presenting and be available for one-on-one sessions include:

- Department of Agriculture
- Department of Commerce NOAA and NIST
- <u>Department of Defense</u> and associated branches including Army, Air Force, Navy and many others
- Department of Energy
- Department of Health & Human Services
- Department of Homeland Security
- Department of Transportation
- Environmental Protection Agency
- National Aeronautics & Space Administration
- National Science Foundation

DEMO COMPANIES: Meet with successful awardees from across the technology spectrum who will be exhibiting their R&D. Learn what made them successful! Current firms include: Defense Holdings, Inc. (DHi), Anautics, Inc., Flying Bridge Technologies, Global Technology Connection, Inc., Insitutec, Inneroptic, Propagation Research Associates, Inc. and Mi-Co.

DEADLINES:

 Conference Registration: <u>April 10th</u> (to receive pre-conference rates: \$249 for NC firms and \$299 for outside NC firms)

- Hotel Reservation at Sheraton: <u>April 6th</u> (after 4/6 the conference room rate of \$110 will no longer be available)
- Investor Ready Entrepreneur: Registration is limited to the <u>first 75</u> P1 and P2 awardees who sign up on the conference registration website.

Sponsors:

Headline Sponsors

NC Board of Science and Technology

NC Biotechnology Center

Focus Resources

Break

NC Research Campus
TN SBIR Resource Center
Oak Ridge National Lab

VACEDA / SwVA PTAC

Exhibit

NC IDEA

Daniels Daniels and Verdonik

Wyrick Robbins Yates and Ponton

Renaissance Computing Institute

Hutchison Law Group

Carilion Biomedical Institute

T2Bridge

Inception Micro Angel Fund

The ResearchTrianglePark

Digisoft Solutions

Luna Innovations

CIT

Texas SBIR

Kentucky Science and Technology Corporation

Media

Tech Journal South

QUESTIONS: Visit CONFERENCE WEBSITE:

www.sbtdc.org/events/sbir/2007

Contact John Ujvari via email at sbir@sbtdc.org

Sent: Friday, April 13, 2007 9:26 AM

To: Mahendra Jain

Subject: Final Reminder Spring 07 SBIR National Conference

FINAL REMINDER re: Spring 2007 SBIR National Conference in RTP, NC

Pre-Registration Extended to <u>Wednesday</u>, <u>April 18th</u> at the \$249 (NC business) and \$299 (Outside NC) rates.

Once Pre-registration closes, rate increases to \$399.

Capacity is becoming limited, so register SOON!

We look forward to seeing you at the Spring 2007 SBIR National Conference!

Small Business Innovation Research (SBIR) National Conference: April 30 - May 3, 2007

WHO: Small businesses and researchers from around the country involved in scientific or technological research and development who are interested in learning how to tap into the nation's two billion dollar R&D funding resource.

WHAT: Spring 2007 SBIR National Conference - CONFERENCE WEBSITE: www.sbtdc.org/events/sbir/2007

WHEN: Monday, April 30th to Thursday, May 3rd

WHERE: Sheraton Imperial Hotel and Convention Center, RTP/Durham, North Carolina

WHY: Conference attendees will be offered flexible multi-track sessions in order to select topics of highest relevance to the current state of their business. For newcomers to the SBIR/STTR programs, attendees will learn how to apply and win some of the \$2.2

billion in Federal grants and contracts. For those who have reached the Phase 1 funding milestone, learning will focus on how to stay on track for success and achieve next level funding. For the multiple award winner, details on moving to full commercial operation will cover procurement, business development, technology and financing.

In addition, pre- and post-conference workshops will be offered as well as exhibits, oneon-one sessions with Federal Program Representatives and networking with state support services, fellow attendees and successful awardees. **Participating Federal agencies** who will be presenting and be available for one-on-one sessions include:

- Department of Agriculture
- Department of Commerce NOAA and NIST
- Department of Defense and associated branches including Army, Air Force, Navy and many others
- Department of Energy
- Department of Health & Human Services
- Department of Homeland Security
- Department of Transportation
- Environmental Protection Agency
- National Aeronautics & Space Administration
- National Science Foundation

DEMO COMPANIES: Meet with successful awardees from across the technology spectrum who will be exhibiting their R&D. Learn what made them successful! Current firms include: Defense Holdings, Inc. (DHi), Anautics, Inc., Flying Bridge Technologies, Global Technology Connection, Inc., Insitutec, Inneroptic, Propagation Research Associates, Inc. and Mi-Co.

DEADLINES:

 Conference Registration: <u>April 10th</u> (to receive pre-conference rates: \$249 for NC firms and \$299 for outside NC firms)

- Hotel Reservation at Sheraton: <u>April 6th</u> (after 4/6 the conference room rate of \$110 will no longer be available)
- Investor Ready Entrepreneur: Registration is limited to the <u>first 75</u> P1 and P2 awardees who sign up on the conference registration website.

Sponsors:

Headline Sponsors

NC Board of Science and Technology

NC Biotechnology Center

Focus Resources

Break

NC Research Campus

TN SBIR Resource Center

Oak Ridge National Lab

VACEDA / SwVA PTAC

Exhibit

NC IDEA

Daniels Daniels and Verdonik

Wyrick Robbins Yates and Ponton

Renaissance Computing Institute

Hutchison Law Group

Carilion Biomedical Institute

T2Bridge

Inception Micro Angel Fund

The ResearchTrianglePark

Digisoft Solutions

Luna Innovations

CIT

Texas SBIR

Kentucky Science and Technology Corporation

Media

Tech Journal South

QUESTIONS: Visit CONFERENCE WEBSITE:

www.sbtdc.org/events/sbir/2007

Contact John Ujvari via email at sbir@sbtdc.org

Sent: Friday, April 27, 2007 4:17 PM

To: Mahendra Jain

Subject: New Funding Opportunities in R&D Excellence Program

859.233-3502

Solicitation Announcement for New Funding Opportunities in the Research & Development Excellence Program

The Kentucky Science and Engineering Foundation (KSEF) announces a new Request for Proposals (RFP). A total of up to \$400,000 is available under the R&D Excellence Program for individual awards of up to \$20,000 for a 1 year period. This round of funding (KSEF-07-RDE-010) is open ONLY in the Emerging Ideas grant category. Scientists and engineers from universities, private colleges and other post-secondary institutions are eligible to apply. Please feel free to share this solicitation announcement with others.

Application Instructions:

1. Request for Proposal

Deadlines and Submission Forms:

1. To be eligible for an invitation to submit a proposal, a Letter of Intent (LOI) must be submitted online by Friday, May 11, 2007, 4:00pm ET.

Click here to access the Online LOI Submission Form.

Note: You will be prompted for a login account consisting of your email address and a password. If you do not have a previous login account you may apply for one by clicking here.

- 2. Invitations for proposal submission will be sent by Tuesday, May 22, 2007, 4:00pm ET
- 3. Invited proposals must be submitted online by Thursday, June 14, 2007, 4:00pm ET.

Copies of Cover Sheet and Budget Page signed by the PI and authorized official must be received in our office within **Two business days of the on-line submission deadline**.

Sent: Monday, May 07, 2007 9:46 AM

To: Mahendra Jain

Subject: NIST ATP Program Returns

The NIST Advanced Technology Program (ATP) program has returned.

The closing date for proposals is Monday, May 21, 2007.

ATP is a competitive program that provides partial government funding for innovative, high-risk R&D projects. The ATP's goal is to foster the development of path-breaking new technologies that can produce significant, broad-based economic benefits for our nation.

For smaller, start-up firms, early support from ATP can make the difference between success and failure. (A single company can receive up to a total of \$2 million for up to three years)

Large firms can work with ATP, especially in joint-ventures, to develop critical, high-risk technologies that would be difficult for any one company to justify because the benefits would be spread across the industry as a whole (**No funding limitations for a joint venture**).

On April 4, 2007, the Department of Commerce (DOC) has announced the opening of a new FY 07 Advance Technology Program (ATP) solicitation under DOC's National Institute of Standards and Technology (NIST).

NEED ADDITIONAL INFORMATION?

- Contact Mahendra Jain at the Kentucky Science and Engineering Foundation (<u>mjain@kstc.com</u>; 859-255-3613 ext. 230) for a Proposal Preparation Kit and other information;
- · Call the ATP at 1-800-287-3863;
- Send an e-mail to atp@nist.gov;
- Visit http://www.atp.nist.gov

KSTC
7 May 2007
